

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 6

Complete if Known

Application Number	09/857,496
Filing Date	June 5, 2001
First Named Inventor	McGill
Art Unit	3621
Examiner Name	Not Yet Known
Attorney Docket Number	053775-5001

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
D-A	A	US- 3,573,747	04/06/1971	Adams	
	B	US- 4,751,640	06/14/1988	Lucas et al.	
	C	US- 4,903,201	02/20/1990	Wagner	
	D	US- 5,077,665	12/31/1991	Silverman	
	E	US- 5,126,936	06/30/1992	Champion et al.	
	F	US- 5,136,501	08/04/1992	Silverman et al.	
	G	US- 5,557,517	09/17/1996	Daughtery III	
	H	US- 5,845,266	12/01/1998	Lupien et al.	
	I	US- 5,940,810	08/17/1999	Traub et al.	
	J	US- 5,970,479	10/19/1999	Shepherd	
	K	US- 6,016,483	01/18/2000	Rickard et al.	
	L	US- 6,029,146	02/22/2000	Hawkins et al.	
	M	US- 6,062,862	05/16/2000	Koskinen	
	N	US- 6,134,536	10/17/2000	Shepherd	
	O	US- 6,157,918	12/05/2000	Shepherd	
	P	US- 6,173,246	01/09/2001	Kant et al.	
	Q	US- 6,304,858	03/07/2000	Serpinet et al.	
	R	US- 6,321,212	11/20/2001	Lange	
	S	US- 6,381,586	04/30/2002	Glasserman et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
D-A	T	WO 01/08063	07/18/2000	Lange		

Examiner
Signature

Date
Considered

11/27/03

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Sheet 2	of 6		

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		Number-Kind Code ² (if known)			
D.A.	U	US- 6,418,419	07/09/2002	Niebor et al.	
	V	US- 6,421,653	07/16/2002	May	
	W	US- 6,456,982	09/24/2002	Pilipovic	
	X	US- 6,493,683	12/10/2002	David et al.	
	Y	US- 6,519,574	02/11/2003	Wilton et al.	
	Z	US- 6,546,375	04/08/2003	Pang et al.	
	A'	US- 6,601,044	07/29/2003	Wallman	
	B'	US- 6,618,707	09/09/2003	Gary	
	C'	US- 6,622,130	09/16/2003	Shepherd	
	D'	US- 6,691,094	02/10/2004	Herschhorn	
	E'	US- 6,772,136	08/03/2004	Kant et al.	
	F'	US- 6,829,589	12/07/2004	Saliba	
	G'	US- 2001/0032169	10/18/2001	Sireau	
	H'	US- 2001/0049651	12/06/2001	Selleck	
	I'	US- 2001/0056392	12/27/2001	Daugherty III	
	J'	US- 2002/0069155	06/06/2002	Nafeh	
	K'	US- 2002/0099640	07/25/2002	Lange	
	L'	US- 2002/0099651	07/25/2002	May	
D.A.	M	US- 2002/0107784	08/08/2002	Hancock et al.	

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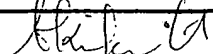
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		Art Unit	3621
		Examiner Name	Not Yet Known
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DA	N1	US- 2002/0123954	09/05/2002	Hito	
	O1	US- 2002/0128955	09/12/2002	Brady et al.	
	P1	US- 2002/0138390	09/26/2002	May	
	Q1	US- 2002/0147670	10/10/2002	Lange	
	R1	US- 2002/0161693	10/31/2002	Greenwald	
	S1	US- 2002/0174055	11/21/2002	Dick et al.	
	T1	US- 2002/0194105	12/19/2002	Klein	
	U1	US- 2002/0194115	12/19/2002	Nordlicht et al.	
	V1	US- 2003/0014354	01/16/2003	Madoff et al.	
	W1	US- 2003/0023539	01/30/2003	Wilce et al.	
	X1	US- 2003/0023546	01/30/2003	Shepherd	
	Y1	US- 2003/0028476	02/06/2003	Jenkins et al.	
	Z1	US- 2003/0033240	02/13/2003	Balson et al.	
	AA	US- 2003/0061148	03/27/2003	Alavian	
	BB	US- 2003/0093356	05/15/2003	Kaufman	
	CC	US- 2003/0093360	05/15/2003	May	
	DD	US- 2003/0097328	05/22/2003	Lundberg	
	EE	US- 2003/0110107	06/12/2003	Hiatt et al.	
DA	FF	US- 2003/0115128	06/19/2003	Lange et al.	

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		Art Unit	3621
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Sheet 4 of 6	Attorney Docket Number	053775-5001	

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		Number-Kind Code ² (if known)			
0-A	GG	US- 2003/0135446	07/17/2003	Birle et al.	
	HH	US- 2003/0149652	08/07/2003	Pham	
	II	US- 2003/0154153	08/14/2003	Steidlmyer et al.	
	JJ	US- 2003/0208430	11/06/2003	Gershon	
	KK	US- 2003/0225657	12/04/2003	Whaley et al.	
	LL	US- 2003/0229571	12/11/2003	May	
	MM	US- 2003/0236738	12/25/2003	Lange et al.	
	NN	US- 2004/0034587	02/19/2004	Anderson et al.	
	OO	US- 2004/0039670	02/26/2004	Fung	
	PP	US- 2004/0059656	03/25/2004	Good et al.	
	QQ	US- 2004/0068459	04/08/2004	Goulet et al.	
	RR	US- 2004/0111358	06/10/2004	Lange et al.	
	SS	US- 2004/0117291	06/17/2004	O'Callahan	
	TT	US- 2004/0139031	07/15/2004	Amaitis et al.	
	UU	US- 2004/0162776	08/19/2004	Vrabel	
	VV	US- 2004/0199450	10/07/2004	Johnson et al.	
	WW	US- 2004/0199452	10/07/2004	Johnson et al.	
	XX	US- 2004/0199459	10/07/2004	Johnson et al.	
6-A	YY	US- 2004/0210504	10/21/2004	Rutman	

FOREIGN PATENT DOCUMENTS						
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Sheet 5

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Attorney Docket Number

053775-5001

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		Examiner Name	Not Yet Known
Sheet 6	of 6	Attorney Docket Number	053775-5001

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
0-A	BB'	BRIYS, Eric et al., "Options, Futures and Exotic Derivatives," Chichester, England: John Wiley & Sons Ltd., 1998.	
0-A	CC'	TALEB, Nassim, "Dynamic Hedging: Managing Vanilla and Exotic Options," New York, New York: John Wiley & Sons, Inc., 1997.	
0-A	DD'	http://www.biz.uiowa.edu/iem/markets/fedpolicyb.html .	

Examiner Signature	<i>Alan J. Smith</i>	Date Considered	11/20/06
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First-Named Inventor	Bradley J. McGill
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Sheet	1	of	1
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PTO Form 1449

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JC18 Rec'd PCT/PTO... 0 5 JUN 2001

Applicants:

Bradley J. McGill and Evan J. Winston

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Concurrently Herewith

Group Art Unit:

Not Yet Assigned

U.S. PATENT DOCUMENTS

*Examiner Initial	Document Number	Date	Name	Class	Sub Class	Filing Date
0.1A	5,375,055	December 20, 1994	Togher et al.	364	408	February 3, 1992
	5,802,499	September 1, 1998	Sampson et al.	705	35	July 13, 1995
	5,806,048	September 8, 1998	Kiron et al.	705	36	October 12, 1995
	5,950,176	September 7, 1999	Keiser et al.	705	37	March 25, 1996
	5,963,923	October 5, 1999	Garber	705	37	June 3, 1997
	5,987,435	November 16, 1999	Weiss et al.	705	36	October 30, 1997
	6,058,379	May 2, 2000	Odom et al.	705	37	July 11, 1997
	6,061,662	May 9, 2000	Makivic	705	36	August 15, 1997
	6,064,985	May 16, 2000	Anderson	705	36	January 21, 1998
	6,088,685	July 11, 2000	Kiron et al.	705	36	August 27, 1998
0.1A	6,098,051	August 1, 2000	Lupien et al.	705	37	April 26, 1996

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Document Number	Date	Country	Class	Sub Class	Translation YES NO	
0.1A WO 01/08063	February 1, 2001	Patent Cooperation Treaty	G06F	17/60		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

0.1A	"Alternate Trading Systems: The New Regulatory Framework", Sara Hewitt and Gerard R. Boyce, < http://www.brownraysman.com/publications/corpopd/corpop0199.html >
	"The SEC's Assault On Electronic Trading", Dale A. Oesterle, Regulation, Vol. 21, No. 3, 1998, pp. 17-23
	"Trends in Trading", Bill Irving and Tony Evangelista, Perspectives/Trading, 2000, pp. 4-9
	"About Nasdaq InterMarket", < http://www.intermarket.nasdaqtrader.com/about.stm... >
0.1A	"Blackbird: Intelligence", < http://www.blackbird.net/sub/10_14_2k.html >

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Document Number	Date	Country	Class	Sub Class	Translation YES NO	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

07A	"Bond Connect - Where liquidity meets", <wysiwyg://216/http://www.bondconnect.com/aboutus/index.html >
	"Business Wire:"; <http://www.findarticles.com/cr_0/m0EIN/2000_Nov_17/67044212/print.jhtml >
	"Derivatives Strategy - April 2000: Alternative Trading Systems Fight for Turf", <http://www.derivativesstrategy.com...ne/archive/2000/0400feal.asp?print... >
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	"Eprocessing", <http://www.sungard.com/about_eprocess.cfm... >
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